PD CEN/TR 17535:2020

BSI Standards Publication

Requirements to connect, access, participate and further develop open global networks and systems, for postal operators and the wider postal sector players

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National foreword

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Requirements to connect, access, participate and further develop open global networks and systems, for postal operators and the wider postal sector players

Services Postaux - Exigences pour se connecter, accéder, participer et développer davantage les réseaux et systèmes mondiaux ouverts, pour les opérateurs postaux et les acteurs du secteur postal au sens large

Anforderungen an die Verbindung, den Zugang, die Teilnahme und die Weiterentwicklung offener globaler Netzwerke und Systeme, für Postbetreiber und die Akteure des Postsektors im weiteren Sinne

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Contents

Page

European foreword 4
Introduction 5
1 Scope 6
2 Normative references 6
3 Terms and definitions 7
4 Process Overview for electronic advanced data 8
4.1 General 8
4.2 Stakeholders and Information Exchanges 9
4.3 Semantic Process Overview (IOSS Scenario) 10
4.3.1 General 10
4.3.2 Order and invoice information 10
4.3.3 Shipment handover to origin carrier 12
4.3.4 Shipping notification I 12
4.3.5 Shipping notification II 13
4.3.6 Customs confirmation I 14
4.3.7 Customs confirmation II 14
4.3.8 Despatch information I 14
4.3.9 Despatch Information II 14
4.3.10 Cross-border transport instruction 15
4.3.11 Consignment information 15
4.4 Semantic Process Overview (DDP) 16
4.4.1 General 16
4.4.2 Order and invoice information 16
4.4.3 Shipment handover to origin carrier 18
4.4.4 Shipping notification I 18
4.4.5 Shipping notification II 19
4.4.6 Customs confirmation I 19
4.4.7 Customs confirmation II 20
4.4.8 Despatch information I 20
4.4.9 Despatch information II 20
4.4.10 Cross-Border transport instruction 21
4.4.11 Consignment information 21
4.5 Semantic Process Overview (DAP) 21
4.5.1 General 21
4.5.2 Order and invoice information 22
4.5.3 Shipment handover to origin carrier 24
4.5.4 Shipping notification I 24
4.5.5 Shipping notification II 25
4.5.6 Customs confirmation I 26
4.5.7 Customs confirmation II 26
4.5.8 Despatch information I 26
4.5.9 Despatch information II 26
4.5.10 Cross-Border transport instruction 27

Documents
Document Sharing Hub
Full document details: PD CEN/TR 17535:2020

4.5.11 Consignment information 27

5 Linking electronic advance data to financial flows 28
5.1 IOSS scenario (using Import One Stop Shop) 28
5.2 DDP scenario (not using the Import One Stop Shop) 31
5.3 DAP scenario (not using the Import One Stop Shop) 33
5.4 Special arrangement 35
5.5 Enhanced DAP scenario 36

Annex A (informative) 2021 - No physical cross-border delivery without electronic advanced data (EAD), Clause title 37

Annex B (informative) EU VAT IOSS ID number 41

Annex C (informative) How do the data flows connect? 44

Annex D (informative) Parcel identification 50

Bibliography 53

Documents
Document Sharing Hub
Full document details: PD CEN/TR 17535:2020

European foreword

This document (CEN/TR 17535:2020) has been prepared by Technical Committee CEN/TC 331"Postal Services", the secretariat of which is held by NEN.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. CEN shall not be held responsible for identifying any or all such patent rights.

This document shall give guidance on how to implement electronic advance data (EAD) for VAT, customs and the increased security requirements for commercial postal items, including economic operators.

The development has been funded by the European Commission in Project Team C (PTC, under CEN/TC331 WG2). This TR is in line with legislation and implementing acts adopted in December 2017 and published 29 December 2017, the so called "EU VAT Ecommerce Package" (OJ L 348 of 29.12.2017 – Council Directive [EU] 2017/2455; Council Regulation [EU] 2017/2454; Council Implementing Regulation [EU] 2017/2459).

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Introduction

CEN has been requested by the European Commission in its standardization request M/548, to develop European standards/other deliverables or, where necessary, to revise existing standards. The goal is to be compliant to security and customs requirements for electronic advanced data and to promote interoperability of parcel-delivery operations. This way we contribute to promoting the creation of a Digital Single Market for the European Union.

This mandated work item (M/548) is closely related to the development of electronic advanced data (EAD) in postal operations compliant to security and customs requirements, as its aim is to develop technical and message specifications for the implementation of EAD, both, upstream of the postal value chain, integrated into the senders (deemed supplier's) applications, so that EAD can be sent prior to any physical border crossing for commercial postal items, and data receiving applications of customs / tax authorities at the country of destination. This work is closely related to the current EU VAT Ecommerce package, put into force in December 2017, and will be mandatory 1 January 2021.

The deliverable shall give guidance on how to apply EAD, so that transport Identification, transaction Identification and tax related identification numbers can be used, both in the closed environment of the designed postal operators (UPU Network) and non-designated private postal operators.

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1 Scope

The current and future infrastructure to satisfy the changing needs of citizens in the EU will grant access to wider postal stakeholders, including customers, postal suppliers, supply chain service providers, (i.e. customs, fiscal authorities collecting VAT and related duties, transport providers like airlines or rail road and other transport mode operators, non-profit organisations supporting supply chain traceability, etc.) non-designated economic postal operators (Courier-, Express-, and Parcel delivery operators) that use, or may wish to use products, services and solutions currently restricted to designated operators.

This document aims at the provision of a Single Digital Market in Europe is at the focus within CEN, in particular:

- maintaining the integrity and independence of the European and worldwide delivery network
- no unfair advantage to any group or individual player, and thereby providing a level playing field
- clear delineation of the responsibilities and roles of all entities involved
- transparent management, control and integration of the postal supply chain as legally described in EU legislation (EU Regulation 2018/644 on cross-border parcel delivery services)
- reciprocity of interconnection with other stakeholder networks, as applicable
- proper security mechanisms in place to ensure data protection and privacy

to provide the necessary implementation guidance of EAD for fiscal duties (VAT et al.), customs and transport security.

The current MoU between the UPU and CEN offers the foundation to convert UPU specifications only applicable to designated postal operators into open CEN specifications. The creation of a digital single market has significant implications on cross border commerce and related delivery of merchandise.

This document provides the necessary implementation guidance. It is based on be the technical report "Postal Services — Electronic advanced data (EAD) in postal operations compliant to security and customs requirements".

The document is based on the semantic mapping description of information on the characteristics or attributes of Low Value Consignments (LVC) which parties in the digital commercial value chain across-borders are called upon to handle, compliant to the EU VAT Ecommerce Package as well as the UPU-WCO customs model. It gives guidance by defining the use of unique transport identifiers, unique transaction identifiers and the IOSS VAT Identification number.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

CEN/TS 17073, *Postal services - Interfaces for cross border parcels*

ISO/IEC 15459-1, *Information technology — Automatic identification and data capture techniques — Unique identification — Part 1: Individual transport units*

ISO/IEC 15459-6, *Information technology — Automatic identification and data capture techniques — Unique identification — Part 6: Groupings*

M33, *ITMATT V1 – Electronic communication of item*

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S8, *Postal dispatch identifier*

S9, *Postal receptacle identifier*

S10, *Identification of postal items – 13-character identifier*

S26, *Licence plates for parcels*

S31, *UPU issuing agency – Assignment of issuer codes*

S32, *Postal Consignments*

3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- IEC Electropedia: available at http://www.electropedia.org/
- ISO Online browsing platform: available at http://www.iso.org/obp

3.1
Delivered at Place (DAP)
incoterm, where the seller is responsible for arranging carriage and for delivering the goods and the buyer is responsible for import clearance and any applicable local taxes or import duties

Note 1 to entry: This rule can often be used to replace the Incoterms 2000 rule Delivered Duty Unpaid (DDU)

3.2
Delivery Duty Paid (DDP)
incoterm where of the seller is responsible for arranging carriage and delivering the goods at the named place, cleared for import and all applicable taxes and duties paid

Note 1 to entry: This rule places the maximum obligation on the seller and is the only rule that requires the seller to take responsibility for import clearance and payment of taxes and/or import duty.

3.3
DESADV
message specifying details for goods despatched or ready for despatch under agreed conditions

Note 1 to entry: DESADV stands for DESpatch ADVice message

3.4
document
letter-post, parcel-post, express or courier item consisting of any piece of written, drawn, printed or digital information, excluding objects of merchandise

3.5
good
letter-post, parcel-post, express or courier item consisting of any tangible and movable object other than money, including objects of merchandise, which does not fall under the definition of “document”

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3.6
ITMATT
message used for the provision of electronic customs information (i.e. an electronic CN 22/23, the UPU customs declaration form) captured and transmitted by the origin UPU Designated Operator (DO) to the destination DO at the time of mailing or dispatch

Note 1 to entry: ITMATT stands for ITeM ATTribute

3.7
Low Value Consignment
consignment containing goods not exceeding a value of EUR 150,-, which benefit from a relieve from import duty

Note 1 to entry: See Articles 23 to 27 of Regulation (EC) 1186/2009 for further information.

Note 2 to entry: Shall be deemed to be declared for release for free circulation by their presentation to customs pursuant to Article 139 of the Union Customs Code provided that the data required are accepted by the customs authorities

3.8
parcel
postal item containing goods with or without commercial value, other than an item of correspondence, with a weight not exceeding 31,5 kg

3.9
parcel delivery services
services involving the clearance, sorting, transport and distribution of parcels

3.10
postal item
item addressed in the final form in which it is to be carried by a postal service provider

Note 1 to entry: In addition to items of correspondence, such items also include for instance books, catalogues, newspapers, periodicals and postal parcels containing merchandise with or without commercial value

3.11
Super-Reduced Dataset (SRD)
dataset allowing for a person to lodge a customs declaration for release for free circulation containing a new dataset in respect of goods which benefit from a relief from import duty

3.12
UN/EDIFACT
United Nations rules for Electronic Data Interchange for Administration, Commerce and Transport comprise a set of internationally agreed standards, directories, and guidelines for the electronic interchange of structured data, between independent computerized information systems

4 Process Overview for electronic advanced data

4.1 General

Electronic Advanced Data (EAD) shall facilitate the exchange of mandatory content related data on the postal item critical for customs, fiscal duties and security. EAD shall be exchanged between all stakeholders involved. These stakeholders include the senders and their marketplaces, platforms including deemed suppliers, operators designated by their states to fulfil UPU obligations and

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constitutional agreements, parcel delivery services and their agents within the supply chain, customs agents, customs and financial administrations and the addressee.

EAD shall provide all stakeholders with the level of data mandatory on parcel item level. This includes data to undertake risk assessment prior to the arrival of a parcel or prior to its loading in the conveyance chain from the sender to the final addressee.

EAD shall facilitate customs procedures associated with revenue collection, as items are fiscally assessed electronically for the collection of appropriate duties and taxes.

4.2 Stakeholders and Information Exchanges

The vision: Harmonized labels - created and attached by SHIPPER at origin - used by ALL stakeholders and information exchanges end-to-end. Based on this vision the technical specification CEN/TS 17073 describes the mandatory identification elements of a harmonized transport label in the global parcel supply chain.

Figure 1 — Harmonized label used in all processes by all stakeholders

All stakeholders may use Seller/Shipper assigned unambiguous Identification Keys based on open Global Data Standards. Clear links have been established among all these numbers. Information on goods, the content for each Transport Unit may be accessed using the unambiguous ID Keys provided in the Electronic Advance Data Exchanges.

Table 1 — Seller/ shipper assigned unambiguous Identification Keys)

Data-Element (Art 143a UCC DA compliant)	ID-Key	Comment
2/3 Unique Item Identifier	ISO/IEC 15459-1	SELLER assigned Transport Unit
2/4 COMMERCIAL reference number	ISO/IEC 15459-6	SELLER assigned Transaction ID
3/40 Additional Fiscal IDs	IOSS ID	Uniquely identifies SELLER

ISO/IEC 15459-1:2014 specifies a unique string of characters for the identification of individual transport units. The character string is intended to be represented in a bar code label or other automatic identification and data capture (AIDC) media attached to the entity to meet management needs.

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ISO/IEC 15459-6:2014 specifies a unique string of characters for the identification of groupings of products, product packages, transport units and items. The character string is intended to be represented in a linear bar code symbol and two-dimensional symbol or other AIDC media attached to the entity to meet management needs and/or regulatory needs (e.g. customs clearance).

4.3 Semantic Process Overview (IOSS Scenario)

4.3.1 General

The following diagram shows the semantic and syntax neutral process flow in the international parcel supply chain on the basis of an electronic flow of information. Each process step is numbered and will be described in detail below.

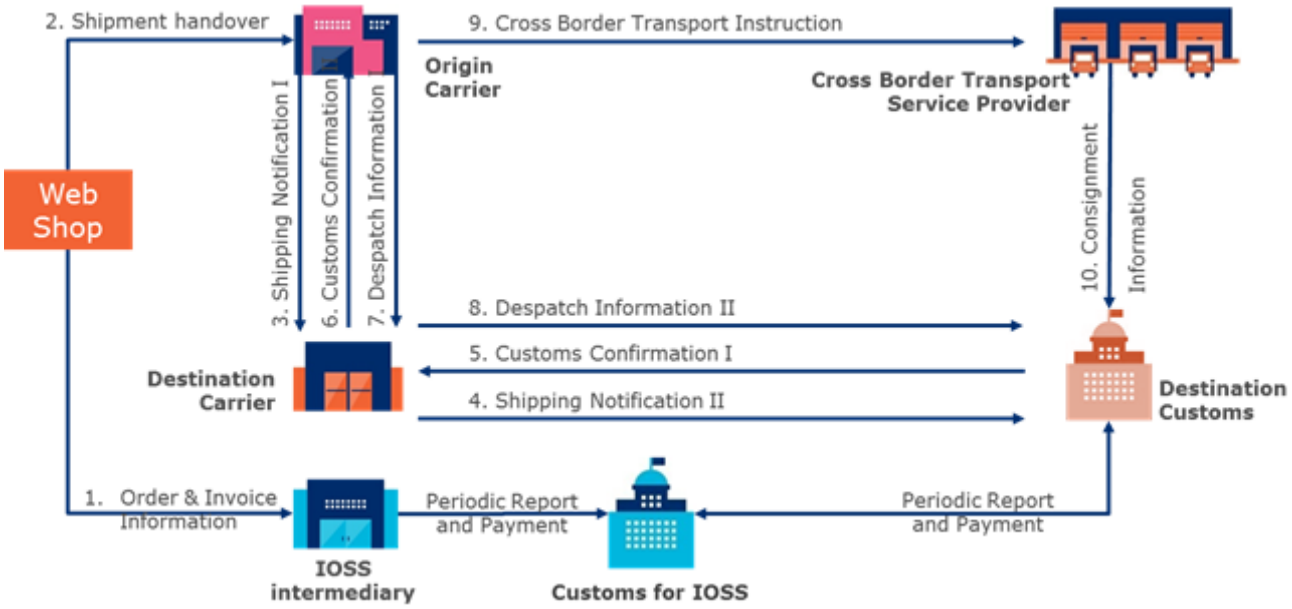

Figure 2 — Stakeholders and Information Exchanges, including flowchart (IOSS)

Below we will run through the business process in some detail and show how the three ID Keys mentioned in the table above (Table 1) enable access to the full set of detailed information regarding the Shipment and its contents to all authorized and relevant stakeholders.

In the below paragraphs (and in line with the diagram above) the document explains the process based on the use of the IOSS (Import One Stop Shop) facility enabled by the EU VAT ecommerce regulations package.

The sub-paragraph numbers correspond with the numbers in the diagram below.

E.g. 4.3.2 corresponds with the flow with number 1 in the diagram

The entire process starts when an online customer enters an order on the webshop.

4.3.2 Order and invoice information

A Customer enters or logs into a webshop. The process described here works for both

- repeat Customers, who may have explicitly registered on the webshop and thus the webshop may have additional prior details for these customers (e.g. country where goods are to be shipped to);
- and occasional customers, who have not registered on the webshop and thus the webshop has no additional prior information for the customer.

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The customer then starts to enter a new Order (also known as Sales Transaction in Customes/VAT context).

The webshop generates an ID for this sales transaction compliant with the ISO standard ISO/IEC 15459-6 (groupings of sales/product items).

In order to calculate the appropriate VAT, the webshop needs to know the delivery country for the sales transaction. In case the customer has registered on the webshop, the webshop may know the (default) destination country. Otherwise, the customer will need to specify the destination country.

The customer then adds sales order lines choosing specific goods/products. These goods may be identified with a globally unique ID Key (e.g. Global Trade Item Number or GTIN, formerly known as EAN or UPC).

The webshop shows the customer the price of the goods. The webshop also calculates the appropriate VAT for the goods on the sales transaction line.

The customer can now check and confirm and accepts the total price (including VAT) for this sales line item.

This process of adding sales line items continues until the customer has entered sales transaction lines for all goods desired.

The process then moves into the check-out process. The customer may select one of several different delivery options. Each of them may be chargeable and the charge may be different for each of those.

Once the customer has chosen the delivery option, the webshop can calculate the total value of the sales transaction.

The customer reviews and accepts the total amount due for the sales transaction. Once the sales transaction is confirmed, the total sales transaction value is final. The webshop can now decide whether this sales transaction is subject to the EU VAT ecommerce regulations package and its Import Scheme for Low Value Consignments. In case sales transaction value is less than EUR 150, the sales transaction is subject to the regulation.

The webshop has all the required sales transaction information that they would need to provide under the regulations for the IOSS. The webshop now provides sales information to IOSS intermediary in the EU (the webshop may have established itself for the IOSS in the EU or they may have contracted with a third party for the purpose).

The set of data provide to the IOSS at this stage includes:

- the ID Key for the sales transaction compliant with ISO/IEC 15459-6 (e.g. Global Shipment Identification Number or GSIN);
- the IOSS number he was assigned by the European Union when registering for the IOSS facility.

The webshop (arranges to) prepares the sales transaction for shipping/transportation to the customer. The webshop sales order system releases instructions to the warehouse that the goods are to be shipped from.

The warehouse will -as a minimum- receive the following data:

- the sales transaction reference compliant to ISO/IEC 15459-6 (e.g. GSIN);
- ID keys for the Goods to be shipped (e.g. GTIN).

The warehouse then picks Goods using the Goods ID Keys provided by the webshop.

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Each of these goods items are placed into a transport unit that is identified with an ID key compliant with ISO/IEC 15459-1 (e.g. SSCC). The warehouse records which goods items they placed into which transport unit.

Each transport unit is clearly marked with the transport unit ID assigned (e.g. using a label compliant with CEN/TS 17073).

In this process the warehouse establishes links across the following Identification keys:

- the transport unit ID and its goods contents. One transport unit may contain multiple different goods items (GTIN);
- transport Unit ID and sales transaction ID (e.g. GSIN). One sales transaction (when shipped) may consist of multiple transport units or just one transport unit, depending considerations related to transportation optimization;
- links the sales transaction ID to the IOSS number for the webshop (and thus also to the transport units just created for this sales transaction ID.

The warehouse shares this information with the webshop. The webshop then shares this information with his IOSS intermediary in the European Union.

The IOSS has FULL details regarding the sales transaction and the related transportation information.

All of that linked together via ID Keys for Sales Transaction (ISO/IEC 15459-6), Transport Unit (ISO/IEC 15459-1) and the IOSS number for the webshop.

4.3.3 Shipment handover to origin carrier

The shipment created based on the sales transaction is ready for transportation.

The webshop (or the warehouse depending on arrangements) sends the transport instruction to the origin carrier.

The transport instruction will consist of the following data:

- the sales transaction ID compliant with ISO/IEC 15459-6 (e.g. GSIN);
- the ID key for each transport unit compliant with ISO/IEC 15459-1 (e.g. SSCC, UPU S26 compliant), or UPU S10 compliant.

NOTE The transport instruction preferable would include goods item related data (e.g. handling related such as fragile or hazardous) or the goods ID key (e.g. GTIN), which would enable access to such related data as and when needed (on-demand / pull approaches).

4.3.4 Shipping notification I

Based on the transport instruction, the origin carrier collects / receives shipment from the warehouse (in the context of transportation the warehouse is regarded as the shipper).

In principle, the origin carrier uses the transport unit IDs assigned by the warehouse/shipper for his own handling and management of these transport units. In practice, several carriers (at any stage of the transport network) are not yet able to do so; but many others can already do so.

Carriers that cannot operate based solely on an ISO/IEC 15459-1 compliant ID assigned by the shipper, may assign an additional transport unit ID (e.g. UPU S10 in case the transport units are carried within international postal networks or any other proprietary transport ID in case the transport units are carried with other international networks).

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To be able to use these additional ID keys they generally affix an additional label to the transport unit/s. The document refers to such a label as a “carrier-specific label”.

To ensure information flows remain linked to the physical transport units ALL Carriers and ALL other handlers of the transport units SHALL follow the below rules:

- carrier SHALL link and KEEP original SHIPPER-assigned IDs in his operating system/s (e.g. transport management system and associated track and trace offering);
- carrier shall not interfere with shipper's label (i.e. transport identification).

As mentioned above, the information that is shared with the IOSS intermediary is entirely based on the ID keys assigned by the webshop and shipper. Therefore, these webshop/shipper-assigned ID keys are visible and (machine-) readable through the transportation from original shipping warehouse all the way up to and including the delivery to the customer.

Cross border agencies (in both origin and destination country) will use these shipper-assigned ID keys

The origin carrier or webshop does export declaration to origin country agencies for the shipment.

They include at least the following data:

- webshop-assigned sales transaction ID compliant with ISO/IEC 15459-6 (e.g. GSIN);
- shipper-assigned ID keys compliant with ISO/IEC 15459-1 (e.g. SSCC. UPU S26 compliant), or UPU S10 for each transport unit belonging to the shipment;
- identification of the goods items contained in the transport units (e.g. GTIN).

The shipping notification does -in current practice- generally not include data related to the goods items. In international postal networks, the origin post sends a so-called UPU/WCO ITMATT message to the destination postal operator. The current UPU M33 ITMATT allows linking alternate IDs compliant with ISO/IEC 15459-1 to the UPU S10 compliant transport unit ID (UPU regulations mandate the use of UPU S10 compliant transport unit ID for international postal flows). This means that postal networks can communicate both the shipper-assigned transport unit ID and the UPU-mandated S10 ID from origin post to destination post. Non-Postal Origin carriers may use global standard messages to transmit this information to the Destination Carrier. E.g. GS1-XML Transport Instruction or UN/CEFACT DESADV.

4.3.5 Shipping notification II

For international cross-border cargo flows, it is (often) mandatory to provide electronic advance data to the cross-border agencies in the destination countries before the cargo may be loaded onto a transport means (e.g. aircraft or maritime vessel) in the origin country.

People often refer to this as “Preloading Advance Cargo Information” (PLACI).

The purpose of providing PLACI to the destination country authorities is to enable assessing security risks (e.g. the infamous “bomb in a box”) related to the international transportation.

The destination carrier provides the PLACI to destination authorities. It should include the following data:

- sales transaction IDs assigned by webshop;
- transport unit IDs assigned by the shipper/webshop;
- identification of the webshop/shipper;
- identification of the customer/receiver in the destination country.

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4.3.6 Customs confirmation I

The destination country authority performs the security risk assessment based on the data received.

More and more authorities combine data with data and information gathered from other sources. The outcome may be one of three things:

- the authority clears the shipment/sales transaction to ship to destination country; the origin carrier may now load the shipment onto a transport means for transportation to the destination country;
- the authority requests additional information; the cargo cannot be loaded yet pending provision of additional data and final clearance;
- the authority tells the international carrier in the destination country specific cargo (shipments or transport units) are not allowed to be loaded on transport means bound for the destination country.

4.3.7 Customs confirmation II

The destination carrier notifies the origin carrier of the cross-border authorities decision described in the previous paragraph.

Below the document assumes destination authorities cleared the cargo for loading on transport means taking the cargo to the destination country.

4.3.8 Despatch information I

To optimize international transportation, the origin carrier consolidates the transport units received from the webshop / shipper into larger transport units. For instance, it may place several/ many parcels on a pallet and shrink-wrap that to create a new easier to handle transport unit. In postal networks, the individual postal items may be consolidated into a receptacle (e.g. mail-bag) for international transportation. The carrier records which of the transport units received from the shipper they consolidated into which new transport unit.

These new transport units may themselves be grouped and managed under a common ID key to manage the transport execution for these grouped transport units. In ISO terms, the origin carrier has now created a new transport grouping.

The origin carrier sends a shipping notification to destination carrier, which will include

- ID keys each new transport unit compliant with ISO/IEC 15459-1 (e.g. SSCC) or UPU S9;
- the ID key for the new transport grouping compliant with ISO/IEC 15459-6 (e.g. GINC) or UPU S8;
- ID keys for all transport units contained within the new transport grouping. These are the webshop/ shipper-assigned IDs compliant with ISO/IEC 15459-1 (e.g. SSCC, UPU S26 compliant) or UPU S10 compliant;
- ID keys for the shipments/ sales transactions contained within this new transport grouping.

These are the webshop/ shipper-assigned IDs compliant with ISO/IEC 15459-6 (e.g. GSIN).

4.3.9 Despatch Information II

The destination carrier who receives the despatch information from the origin carrier forwards that information to the destination country authorities. The data submitted to the authorities includes:

- IDs for each consolidated transport unit (compliant with ISO/IEC 15459-1 or UPU S9);
- ID key for the new transport grouping (compliant with ISO/IEC 15459-6 or UPU S8 and UPU S9);

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- ID keys for the transport units created by webshop/shipper (ISO/IEC 15459-1, UPU S26) or UPU S10;
- ID keys for the shipments/sales transactions assigned by the webshop.

The objective is to ensure destination country authorities can always easily link the data submissions at any stage to the original ID keys assigned at source by the webshop/shipper.

4.3.10 Cross-border transport instruction

In parallel to the above exchanges regarding despatch information, the origin carrier arranges the transportation from the origin country to destination country with an international transport Service provider. For further optimization of transportation of this transport, there may be an additional level of consolidation, creating a new transport grouping specifically for this transportation.

When this occurs, the origin carrier does the following things:

- assign a new transport grouping ID compliant with ISO/IEC 15459-6 (e.g. GINC) or UPU S32. This new transport grouping ID is often referred to as the consignment ID;
- link the consignment ID to the IDs for the new transport unit IDs they created in the previous process steps (Despatch information I and II). In effect this also links the transport unit IDs assigned by the webshop/shipper to the consignment ID because the origin carrier already linked those to the consolidated transport unit in the previous process step.

Once the origin carrier completes the preparations for the international transportation, he sends a final transport instruction to international transport service provider.

This transport instruction contains the same information as indicated in the two bullets above.

The origin carrier then hands over the physical transport units related to this international consignment to the transport service provider. Execution of transportation to the destination country commences.

4.3.11 Consignment information

The international transport service provider takes care of moving the consignment (and all shipments/ sales transaction and transport units in it) to the destination country.

In general, the international transport service provider (TSP) will carry many consignments from different clients of the TSP on the transport means (e.g. aircraft or maritime vessel). The full record of all consignments moving on the transport means is called the manifest.

The TSP submits this manifest information for the international transport to destination country authorities.

The manifest information should include:

- IDs for all consignments carried by the transport means;
- IDs for all transport units reported by the origin carrier in the transport instruction

This enables destination country authorities to link the despatch information received from the origin carrier (via the destination carrier) with the actual transportation information provided by the TSP.

In turn this confirms the cargo has in effect been transported to the destination country.

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